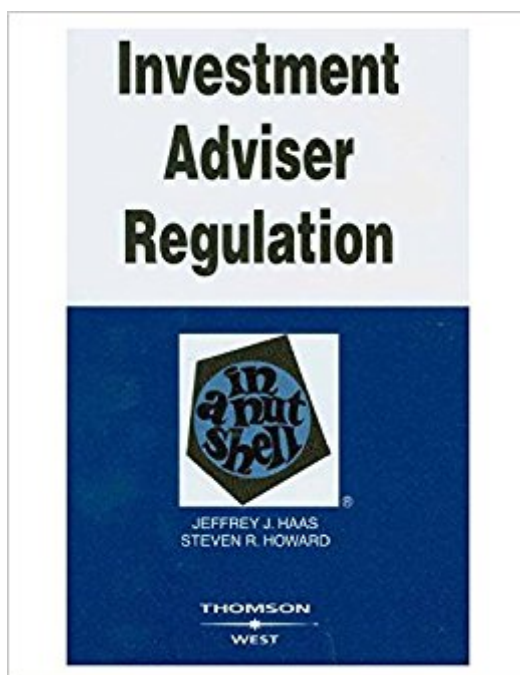


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Investment Adviser Regulation In A Nutshell



Synopsis

Investment Adviser Regulation in a Nutshell is designed for persons interested in learning the fundamentals of regulation set forth primarily in the Investment Advisers Act of 1940 and the Securities and Exchange Commission rules and regulations. In particular, this book is targeted toward investment advisers and their chief compliance officers. However, those associated with mutual funds, hedge funds, private equity funds, and collateralized debt obligation funds will find it useful as well.

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Find this to be useful as a tool for RIAs to identify and prioritize areas of compliance and regulatory risk.

Handy little book purchased because finding legible text on the 1940 Advisers Act is neigh on impossible. However, Financial Reform Act will change a bit of it.

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